

COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, VA 22313-1450



Docket No.: 874.1001US

Date: July 29, 2004

IFW

In re application of: Andrew T. HECHT

Serial No.: 10/689,833

Filed: October 20, 2003

For: **METHOD FOR VALUING FORWARDS, FUTURES AND OPTIONS ON REAL ESTATE**

Sir:

Transmitted herewith is a **Supplemental Information Disclosure Statement** in the above-identified application.

- ☐ Small entity status under 37 C.F.R. 1.9 and 1.27 has been previously established.  
☐ Applicants assert small entity status under 37 C.F.R. 1.9 and 1.27.  
☒ No fee for additional claims is required.  
☐ A filing fee for additional claims calculated as shown below, is required:

FOR:	(Col. 1)	(Col. 2)		SMALL ENTITY		OR	LARGE ENTITY	
	REMAINING	HIGHEST		RATE	FEE		RATE	FEE
	AFTER	PREVIOUSLY	PRESENT					
	AMENDMENT	PAID FOR	EXTRA					
TOTAL CLAIMS	* Minus**	=	0	x \$ 9	\$		x \$ 18	\$
INDEP. CLAIMS	* Minus***	=	0	x \$ 40	\$		x \$ 80	\$
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM				+ \$135	\$		+ \$270	\$
				TOTAL:	\$	OR	TOTAL:	\$

\* If the entry in Co. 1 is less than the entry in Col. 2, write "0" in Col. 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space.

- ☒ Also transmitted herewith are:  
☐ Petition for extension under 37 C.F.R. 1.136  
☒ Other: **Form PTO 1449 and Copies of References Cited**

- ☐ Check(s) in the amount of \$.00 is/are attached to cover:  
☐ Filing fee for additional claims under 37 C.F.R. 1.16  
☐ Petition fee for extension under 37 C.F.R. 1.136  
☐ Other:

- ☒ The Assistant Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0552.

- ☐ Any filing fee under 37 C.F.R. 1.16 for the presentation of additional claims which are not paid by check submitted herewith.  
☒ Any patent application processing fees under 37 C.F.R. 1.17.  
☒ Any petition fees for extension under 37 C.F.R. 1.136 which are not paid by check submitted herewith, and it is hereby requested that this be a petition for an automatic extension of time under 37 CFR 1.136.

Cary S. Kappel, Reg. No. 36,561  
 DAVIDSON, DAVIDSON & KAPPEL, LLC  
 485 Seventh Avenue, 14<sup>th</sup> Floor  
 New York, New York 10018  
 Tel: (212) 736-1940  
 Fax: (212) 736-2427

I hereby certify that this correspondence and/or documents referred to as attached therein and/or fee are being deposited with the United States Postal Service as "first class mail" in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" on July 29, 2004.  
 DAVIDSON, DAVIDSON & KAPPEL, LLC

BY: Jennifer Buley

**UNITED STATES PATENT AND TRADEMARK OFFICE**

Re: Application of: Andrew T. HECHT

Serial No.: 10/689,833

Filed: October 20, 2003

For: **METHOD FOR VALUING FORWARDS, FUTURES AND  
OPTIONS ON REAL ESTATE**



**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

July 29, 2004

Sir:

In accordance with Applicant's duty of disclosure under 37 C.F.R. §1.56 and the provisions of 37 C.F.R. §§ 1.97 and 1.98, Applicants hereby make of record the references listed on the attached Form PTO-1449.

The present Information Disclosure Statement is filed under 37 C.F.R. §1.97(b), before the mailing of a first Office Action on the merits. Accordingly, it is believed that no fee is due. However, if it is determined that any fee is due, the Examiner is authorized to charge said fee to Attorney Deposit Account No. 50-0552.

Respectfully submitted,

DAVIDSON, DAVIDSON & KAPPEL, LLC

By: \_\_\_\_\_  
Cary S. Kappel  
Reg. No. 36,561

DAVIDSON, DAVIDSON, & KAPPEL, LLC  
485 Seventh Avenue, 14<sup>th</sup> Floor  
New York, New York 10018  
(212) 736-1940

FORM PTO-1449  
(REV. 7-80)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.:  
874.1001US

SERIAL NO.: 10/689,833

**LIST OF PRIOR ART CITED BY APPLICANT**

(Use several sheets if necessary)

APPLICANT(S): Andrew T. HECHT

FILING DATE:  
October 20, 2003

GROUP:  
Unknown

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	20	04	01	39	0	3	1	07/15/04	Amaitis, et al.	705	80	
	AB	20	02	01	03	7	4	4	08/01/02	Llewelyn	705	37	
	AC	20	03	01	35	4	4	1	07/17/03	Ginsberg	705	37	

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
													YES	NO

**OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)**


EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.